

Element Performance Inspection (EPI) Data Collection Tool

1.2.4 MIS Reports (AW)

ELEMENT SUMMARY INFORMATION

Purpose of this Element (certificate holder's responsibility):

- To provide policy, procedures, instructions, and information in the manual which allows personnel who accomplish the MIS Reports process to perform their duties and responsibilities to a high degree of safety.

Objective (FAA oversight):

- To determine the effectiveness of the certificate holder s procedures in meeting the desired output of the process.
- To determine if the certificate holder follows its procedures, controls, process measurements, and interfaces for the MIS Reports process.
- To determine if there were any changes in the personnel identified by the certificate holder as having responsibility and/or authority for the MIS Reports process.

Specific Instructions:

- Intentionally left blank.

Related EPIs:

- 1.1.1 Aircraft Airworthiness (AW)
- 1.1.2 Appropriate Operational Equipment (AW)
- 1.2.1 Airworthiness Release / Logbook Entry (AW)
- 1.3.3 Maintenance Facility / Main Maintenance Base (AW)
- 5.1.1 Line Stations (AW)

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirements (SRRs):

- SRRs:
 - 121.135(a)(1)
 - 121.135(b)(1)
 - 121.135(b)(2)
 - 121.135(b)(3)
 - 121.705
 - 121.705(a)
 - 121.705(b)
 - 121.705(c)

Related CFRs & FAA Policy/Guidance:

- Related CFRs:
 - Intentionally left blank
- FAA Policy/Guidance:
 - Order 8300.10, Volume 2, Chapter 63

- FAA Policy/Guidance:
Order 8300.10, Volume 2, Chapter 71

EPI SECTION 1 - PERFORMANCE OBSERVABLES

Objective: The tasks and questions in this section of the data collection tool (DCT) are designed to assist the inspector in determining if the certificate holder follows its written procedures and controls and meets the established performance measures of the process. To accomplish this, questions have been generated to test both the outputs of the process as well as the process itself. Question 1 and its following subquestions are directed at the output(s) of the process, whereas questions 2-6, when answered, should be directed at the process itself

Tasks

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| | To meet this objective, the inspector must accomplish the following tasks: |
| 1. | Review information listed in the Supplemental Information section of this DCT. |
| 2. | Review the policies, procedures, instructions, and information for the MIS Reports process contained in the certificate holder's manual. |
| 3. | Review the last accomplished associated safety attribute inspection (SAI) for this element with emphasis on the controls, process measurements, and interface attribute sections. |
| 4. | Observe the MIS Reports process to gain an understanding of the procedures, instructions, and information contained in the certificate holder's manual. |
| 5. | Discuss the MIS Reports process with the personnel (other than management) who perform the duties and responsibilities required by the process. |

Questions

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| | To meet this objective, the inspector must answer the following questions: | |
| 1. | Determine whether the following performance measures were met: | |
| 1.1. | <p>Does the certificate holder report occurrences in Mechanical Interruption Summary Reports as required by 14 CFR 121.705?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> Check at the FAA Location then at the Air Carrier Specified Location that the certificate reported interruptions to a flight, unscheduled change of aircraft en route, or unscheduled stops or diversions from a route, caused by known or suspected mechanical difficulties or malfunctions in accordance with the certificate holder's design. <i>Sources:</i> 121.135(a)(1); 121.705 Check at the FAA Location then at the Air Carrier Specified Location that the certificate holder reported the number of engines removed prematurely because of malfunction, failure or defect, and that the report was listed by make and model and by the aircraft type in which it was installed, in accordance with the certificate holder's design. <i>Sources:</i> 121.135(a)(1); 121.705 Check at the FAA Location then at the Air Carrier Specified Location that the certificate holder reported the number of propeller featherings in flight, listed by type of propeller and engine and aircraft on which it was installed, in accordance with the certificate holder's design. <i>Sources:</i> 121.135(a)(1); 121.705 | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain |
| 1.2. | <p>Was each Mechanical Interruption Summary distributed in accordance with the certificate holder's procedures?</p> <p><i>Related Performance JTIs:</i></p> | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain |

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| | <p>1. Check at the FAA Location that the certificate holder sent a Mechanical Interruption Summary Report to the Administrator in accordance with the certificate holder's design.</p> <p>Sources: 121.135(a)(1); 121.705</p> | |
| 2. | Were the certificate holder's policies, procedures, instructions, and information, contained in its manual, for the MIS Reports process followed? | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain |
| 3. | Were the MIS Reports process controls followed? | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain |
| 4. | Did the records for the MIS Reports process comply with the instructions provided in the certificate holder's manual? | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain |
| 5. | Were the process measurements for the MIS Reports process effective in identifying problems or potential problems and providing corrective action for them? | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain |
| 6. | Did personnel properly handle the associated interfaces by complying with other written policies, procedures, instructions, and information that are related to this element? | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain |

| EPI SECTION 1 - PERFORMANCE OBSERVABLES Drop-Down Menu | |
|-------------------------------------------------------------------------|------------------------------------------------------|
| 1. | Personnel. |
| 2. | Tools and Equipment. |
| 3. | Technical Data. |
| 4. | Procedures, policies or instructions or information. |
| 5. | Materials. |
| 6. | Facilities. |
| 7. | Controls. |
| 8. | Process Measures. |
| 9. | Interfaces. |
| 10. | Desired Outcome. |
| 11. | Other. |

EPI SECTION 2 - MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES

Objective: The questions in this section address the responsibility and authority of the process. They are designed to assist the inspector in determining if there is a clearly identifiable, qualified, and knowledgeable person who is responsible for the process, is answerable for the quality of the process, and has the authority to establish and modify the process. (The person with the authority may or may not be the person with the responsibility.)

Tasks

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| | To meet this objective, the inspector must accomplish the following tasks: |
| | NOTE: If no personnel or major program changes (as defined by the Principal Inspector (PI)) affecting the responsibility or authority attributes for this element have occurred since the last SAI and/or EPI was accomplished, then do not perform tasks 3-6 below. Answer questions 1 and 2, below, and provide the name/title. |
| 1. | Identify the person who has overall responsibility for the MIS Reports process. |
| 2. | Identify the person who has overall authority for the MIS Reports process. |
| 3. | Review the duties and responsibilities for the person(s) who manage the MIS Reports process documented in the certificate holder's manual. |
| 4. | Review the appropriate organizational chart. |
| 5. | Discuss the MIS Reports process with the management personnel identified in tasks 1 and 2. |
| 6. | Evaluate the qualifications and work experience of the management personnel identified in tasks 1 and 2. |

Questions

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| | To meet this objective, the inspector must answer the following questions: | |
| 1. | Is there a clearly identified person who is responsible for the quality of the MIS Reports process? | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title: |
| 2. | Is there a clearly identified person who has authority to establish and modify the certificate holder's policies, procedures, instructions, and information for the MIS Reports process? | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title: |
| 3. | Does the responsible person know that he/she has responsibility for the MIS Reports process? | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change |
| 4. | Does the person with authority know that he/she has authority for the MIS Reports process? | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change |
| 5. | Does the person with responsibility for the MIS Reports process meet the qualification standards? | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change |
| 6. | Does the person with authority to establish and modify the MIS Reports process meet the qualification standards? | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change |
| 7. | Does the person with responsibility understand the controls, process | <input type="checkbox"/> Yes |

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| | measurements, and interfaces associated with the MIS Reports process? | <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change |
| 8. | Does the person with authority understand the controls, process measurements, and interfaces associated with the MIS Reports process? | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change |
| 9. | Does the responsible person know who has authority to establish and modify the MIS Reports process? | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change |
| 10. | Does the individual with authority know who has the responsibility for the MIS Reports process? | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change |

| EPI SECTION 2 - MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES | |
|------------------------------------------------------------------------------|---------------------------------------------------------------------------|
| Drop-Down Menu | |
| 1. | Assignment of responsibility. |
| 2. | Assignment of authority. |
| 3. | Does not understand procedures, policies or instructions and information. |
| 4. | Does not understand controls. |
| 5. | Does not understand process measurements. |
| 6. | Does not understand interfaces. |
| 7. | Span of control. |
| 8. | Position vacant. |
| 9. | Other. |